



PATENT  
Attorney Docket No. ASC-022CPC1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Wu *et al.*  
SERIAL NO.: 10/603,852 GROUP NO.: 3708  
FILING DATE: June 25, 2003 EXAMINER: Owens  
TITLE: ETCH STOP LAYER SYSTEM

Mail Stop: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

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- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

In addition, Applicants wish to inform the Examiner about the following co-pending patent applications and Office Actions cited therein:

- 1) U.S. Serial No. 09/611,024 (Docket No. ASC-023) filed on 06/07/2000, by Fitzgerald;
- 2) U.S. Serial No. 10/611,739 (Docket No. ASC-044C1) filed on 07/01/2003, by Fitzgerald *et al.*;
- 3) U.S. Serial No. 10/774,890 (Docket No. ASC-049C1) filed on 02/09/2004, by Fitzgerald;
- 4) U.S. Serial No. 10/802,185 (Docket No. ASC-025DVC1) filed on 03/17/2004, by Cheng *et al.*;
- 5) U.S. Serial No. 10/802,186 (Docket No. ASC-025DV2C1) filed on 03/17/2004, by Cheng *et al.*;
- 6) U.S. Serial No. 10/826,156 (Docket No. ASC-023C2) filed on 04/16/2004, by Fitzgerald; and
- 7) U.S. Serial No. 10/854,556 (Docket No. ASC-054C1) filed on 05/26/2004, by Fitzgerald.

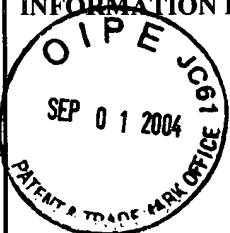
Respectfully submitted,

Date: August 30, 2004  
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<b>FORM PTO - 1449</b>  <b>INFORMATION DISCLOSURE STATEMENT</b>				<b>ATTY DOCKET NO.: ASC-022CPC1</b>  <b>APPLICANT: Wu et al.</b>  <b>SERIAL NO.: 10/603,852</b>  <b>FILING DATE: June 25, 2003</b>  <b>EXAMINER: Owens, Douglas W.</b>  <b>GROUP: 2811</b>			
							
<b>U.S. PATENT DOCUMENTS</b>							
EXAM. INIT.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	A70	2001/0003364	06/14/2001	Sugawara et al.			
	A71	2001/0007789	07/12/2001	Aspar et al.			
	A72	2002/0043660	04/18/2002	Yamazaki et al.			
	A73	2002/0084000	07/04/2002	Fitzgerald			
	A74	2002/0096717	07/25/2002	Chu et al.			
	A75	2002/0100942	08/01/2002	Fitzgerald et al.			
	A76	2002/0123167	09/05/2002	Fitzgerald			
	A77	2002/0123183	09/05/2002	Fitzgerald			
	A78	2002/0125471	09/12/2002	Fitzgerald et al.			
	A79	2002/0168864	11/14/2002	Cheng et al.			
	A80	2003/0003679	01/02/2003	Doyle et al.			
	A81	2003/0013305	01/16/2003	Sugii et al.			
	A82	2003/0034529	02/20/2003	Fitzgerald et al.			
	A83	2003/0057439	03/27/2003	Fitzgerald			
	A84	2003/0102498	06/05/2003	Braithwaite et al.			
	A85	2003/0119280	06/26/2003	Lee et al.			12/02/2002
	A86	2003/0127646	07/10/2003	Christiansen et al.			12/18/2002
	A87	2003/0139000	07/24/2003	Bedell et al.			01/23/2002
	A88	2003/0157787	08/21/2003	Murthy et al.			02/21/2002
	A89	2003/0160300	08/28/2003	Takenaka et al.			02/24/2003
	A90	2003/0178681	09/25/2003	Clark et al.			04/02/2003
	A91	2003/0189229	10/09/2003	Mouli			04/05/2002
	A92	2003/0199126	10/23/2003	Chu et al.			04/23/2002
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			

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	A93	2003/0201458	10/30/2003	Clark <i>et al.</i>			05/16/2003
	A94	2003/0203600	10/30/2003	Chu <i>et al.</i>			06/15/2003
	A95	2003/0207127	11/06/2003	Murthy <i>et al.</i>			05/30/2003
	A96	2003/0215990	11/20/2003	Fitzgerald <i>et al.</i>			03/14/2003
	A97	2003/0218189	11/27/2003	Christiansen			11/19/2002
	A98	2003/0219957	11/27/2003	Kuwabara <i>et al.</i>			05/29/2003
	A99	2003/0227036	12/11/2003	Sugiyama <i>et al.</i>			02/21/2003
	A100	2003/0227057	12/01/2003	Lochtefeld <i>et al.</i>			10/04/2002
	A101	2003/0230778	12/18/2003	Park <i>et al.</i>			01/30/2003
	A102	2003/0232467	12/18/2003	Anderson <i>et al.</i>			05/29/2003
	A103	2004/0005740	01/01/2004	Lochtefeld <i>et al.</i>			06/06/2003
	A104	2004/0007724	01/15/2004	Murthy <i>et al.</i>			07/12/2002
	A105	2004/0009649	01/15/2004	Kub <i>et al.</i>			05/20/2003
	A106	2004/0012037	01/22/2004	Venkatesan <i>et al.</i>			07/18/2002
	A107	2004/0012075	01/22/2004	Bedell <i>et al.</i>			07/16/2002
	A108	2004/0014304	01/22/2004	Bhattacharyya			07/18/2002
	A109	2004/0018699	01/29/2004	Boyd <i>et al.</i>			07/24/2002
	A110	2004/0031979	02/19/2004	Lochtefeld			06/06/2003
	A111	2004/0031990	02/19/2004	Jin <i>et al.</i>			08/16/2002
	A112	2004/0041174	03/04/2004	Okihara			03/21/2003
	A113	2004/0041210	03/04/2004	Mouli			09/02/2003
	A114	2004/0048091	03/11/2004	Sato <i>et al.</i>			09/04/2003
	A115	2004/0048454	03/11/2004	Sakaguchi			09/04/2003
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			

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EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A116	2004/0051140	03/18/2004	Bhattacharyya			09/12/2002
	A117	2004/0053477	03/18/2004	Ghyselen <i>et al.</i>			07/09/2003
	A118	2004/0075149	04/22/2004	Fitzgerald <i>et al.</i>			07/23/2003
	A119	4,704,302	11/03/1987	Bruel <i>et al.</i>			
	A120	4,710,788	12/01/1987	Dambkes <i>et al.</i>			
	A121	4,987,462	01/22/1991	Kim <i>et al.</i>			
	A122	4,990,979	02/05/1991	Otto			
	A123	4,997,776	03/05/1991	Haramé <i>et al.</i>			
	A124	5,155,571	10/13/1992	Wang <i>et al.</i>			
	A125	5,177,583	01/05/1993	Endo <i>et al.</i>			
	A126	5,240,876	08/34/1993	Gaul <i>et al.</i>			
	A127	5,241,197	08/31/1993	Murakami <i>et al.</i>			
	A128	5,250,445	10/05/1993	Bean <i>et al.</i>			
	A129	5,291,439	03/01/1994	Kauffmann <i>et al.</i>			
	A130	5,298,452	03/29/1994	Meyerson			
	A131	5,316,958	05/31/1994	Meyerson			
	A132	5,399,522	03/21/1995	Ohuri			
	A133	5,424,243	06/13/1995	Takasaki			
	A134	5,426,069	06/20/1995	Selvakumar <i>et al.</i>			
	A135	5,426,316	06/20/1995	Mohammad			
	A136	5,439,843	08/08/1995	Sakaguchi <i>et al.</i>			
	A137	5,461,250	10/24/1995	Burghartz <i>et al.</i>			
	A138	5,479,033	12/26/1995	Baca <i>et al.</i>			
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	A139	5,523,243	06/04/1996	Mohammad			
	A140	5,572,043	11/05/1996	Shimizu <i>et al.</i>			
	A141	5,596,527	01/21/1997	Tomioka <i>et al.</i>			
	A142	5,617,351	04/01/1997	Bertin <i>et al.</i>			
	A143	5,630,905	05/20/1997	Lynch <i>et al.</i>			
	A144	5,659,187	08/19/1997	Legoues <i>et al.</i>			
	A145	5,698,869	12/16/1997	Yoshimi <i>et al.</i>			
	A146	5,714,777	02/03/1998	Ismail <i>et al.</i>			
	A147	5,739,567	04/14/1998	Wong			
	A148	5,777,347	07/07/1998	Bartelink			
	A149	5,786,612	07/28/1998	Otani <i>et al.</i>			
	A150	5,786,614	07/28/1998	Chuang <i>et al.</i>			
	A151	5,808,344	09/15/1998	Ismail <i>et al.</i>			
	A152	5,847,419	12/08/1998	Imai <i>et al.</i>			
	A153	5,863,830	01/26/1999	Bruel <i>et al.</i>			
	A154	5,882,987	03/16/1999	Srikrishnan			
	A155	5,912,479	06/15/1999	Mori <i>et al.</i>			
	A156	5,963,817	10/05/1999	Chu <i>et al.</i>			
	A157	5,993,677	11/30/1999	Biasse <i>et al.</i>			
	A158	6,013,134	01/11/2000	Chu <i>et al.</i>			
	A159	6,013,563	01/11/2000	Henley <i>et al.</i>			
	A160	6,020,252	02/01/2000	Aspar <i>et al.</i>			
	A161	6,058,044	05/02/2000	Sugiura <i>et al.</i>			
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			

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	A162	6,103,597	08/15/2000	Aspar <i>et al.</i>			
	A163	6,103,599	08/15/2000	Henley <i>et al.</i>			
	A164	6,130,453	10/10/2000	Mei <i>et al.</i>			
	A165	6,133,799	10/17/2000	Favors <i>et al.</i>			
	A166	6,140,687	10/31/2000	Shimomura <i>et al.</i>			
	A167	6,143,636	11/07/2000	Forbes <i>et al.</i>			
	A168	6,160,303	12/12/2000	Fattaruso			
	A169	6,162,705	12/19/2000	Henley <i>et al.</i>			
	A170	6,190,998 B1	02/20/2001	Bruel <i>et al.</i>			
	A171	6,204,529	03/20/2001	Lung <i>et al.</i>			
	A172	6,225,192 B1	05/01/2001	Aspar <i>et al.</i>			
	A173	6,242,324	06/05/2001	Kub <i>et al.</i>			
	A174	6,249,022	06/19/2001	Lin <i>et al.</i>			
	A175	6,251,751 B1	06/26/2001	Chu <i>et al.</i>			
	A176	6,266,278	07/24/2001	Harari <i>et al.</i>			
	A177	6,271,551	08/07/2001	Schmitz <i>et al.</i>			
	A178	6,271,726	08/07/2001	Fransis <i>et al.</i>			
	A179	6,290,804 B1	09/18/2001	Henley <i>et al.</i>			
	A180	6,303,468 B1	10/16/2001	Aspar <i>et al.</i>			
	A181	6,316,301	11/13/2001	Kant			
	A182	6,326,667 B1	12/04/2001	Sugiyama <i>et al.</i>			
	A183	6,329,063	12/11/2001	Lo <i>et al.</i>			
	A184	6,339,232	01/15/2002	Takagi			
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			

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EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A185	6,344,417 B1	02/05/2002	Usenko			
	A186	6,346,459 B1	02/12/2002	Usenko et al.			
	A187	6,352,909	03/05/2002	Usenko			
	A188	6,355,493 B1	03/12/2002	Usenko			
	A189	6,368,938 B1	04/09/2002	Usenko			
	A190	6,369,438 B1	04/09/2002	Sugiyama et al.			
	A191	6,372,593	04/16/2002	Hattori <i>et al.</i>			
	A192	6,372,609 B1	04/16/2002	Aga et al.			
	A193	6,387,829 B1	05/14/2002	Usenko et al.			
	A194	6,391,740 B1	05/21/2002	Cheung et al.			
	A195	6,399,970	06/04/2002	Kubo <i>et al.</i>			
	A196	6,403,975	06/11/2002	Brunner <i>et al.</i>			
	A197	6,407,406	06/18/2002	Tezuka			
	A198	6,410,371 B1	06/25/2002	Yu et al.			
	A199	6,420,937	07/16/2002	Akatsuka <i>et al.</i>			
	A200	6,425,951	07/30/2002	Chu <i>et al.</i>			
	A201	6,429,061	08/06/2002	Rim			
	A202	6,445,016 B1	09/03/2002	An et al.			
	A203	6,448,152 B1	09/10/2002	Henley et al.			
	A204	6,455,397 B1	09/24/2002	Belford			
	A205	6,458,672 B1	10/01/2002	Henley et al.			
	A206	6,475,072 B1	11/05/2002	Canaperi et al.			
	A207	6,514,836 B2	02/04/2003	Belford			
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			



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EXAM. INIT.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	A208	6,515,335 B1	02/04/2003	Christiansen et al.			
	A209	6,524,935	02/25/2003	Canaperi <i>et al.</i>			
	A210	6,534,381 B2	03/18/2003	Cheung et al.			
	A211	6,555,839	04/29/2003	Fitzgerald			
	A212	6,583,437 B2	06/24/2003	Mizuno et al.			
	A213	6,593,191	07/15/2003	Fitzgerald			01/17/2001
	A214	6,593,625 B2	07/15/2003	Christiansen et al.			04/03/2002
	A215	6,596,610 B1	07/22/2003	Kuwabara et al.			11/27/2000
	A216	6,602,613	08/05/2003	Fitzgerald			05/16/2000
	A217	6,603,156	08/05/2003	Rim			03/31/2001
	A218	6,607,948 B1	08/19/2003	Sugiyama et al.			08/24/2001
	A219	6,624,047 B1	09/23/2003	Sakaguchi et al.			02/01/2000
	A220	6,624,478 B2	09/23/2003	Anderson et al.			01/30/2002
	A221	6,632,724 B2	10/14/2003	Henley et al.			01/13/2000
	A222	6,635,909 B2	10/21/2003	Clark et al.			03/19/2002
	A223	6,645,831 B1	11/11/2003	Shaheen et al.			05/07/2002
	A224	6,646,322	11/11/2003	Fitzgerald			07/16/2001
	A225	6,649,480	11/18/2003	Fitzgerald <i>et al.</i>			06/19/2001
	A226	6,649,492 B2	11/18/2003	Chu et al.			02/11/2002
	A227	6,656,271 B2	12/02/2003	Yonchara et al.			12/03/1999
	A228	6,664,169 B1	12/16/2003	Iwasaki et al.			06/05/2000
	A229	6,677,183 B2	01/13/2004	Sakaguchi et al.			01/31/2002
	A230	6,677,192	01/13/2004	Fitzgerald			07/16/2001
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EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE		
	A231	6,680,240 B1	01/20/2004	Maszara			06/25/2002		
	A232	6,680,260 B2	01/20/2004	Akiyama et al.			09/17/2002		
	A233	6,690,043 B1	02/10/2004	Usuda et al.			11/22/2000		
	A234	6,703,144	03/09/2004	Fitzgerald			03/18/2003		
	A235	6,703,688	03/09/2004	Fitzgerald			07/16/2001		
	A236	6,706,614 B1	03/16/2004	An et al.			05/15/2002		
	A237	6,706,618 B2	03/16/2004	Takisawa et al.			07/29/2002		
	A238	6,707,106 B1	03/16/2004	Wristers et al.			10/18/2002		
	A239	6,709,903	03/23/2004	Christiansen			04/30/2003		
	A240	6,709,909 B2	03/23/2004	Mizuno et al.			05/19/2003		
	A241	6,713,326	03/30/2004	Cheng <i>et al.</i>			03/04/2003		
	A242	6,723,661	04/20/2004	Fitzgerald			07/16/2001		
	A243	6,730,551	05/04/2004	Lee <i>et al.</i>			08/02/2002		
	A244	6,737,670	05/18/2004	Cheng <i>et al.</i>			03/07/2003		
	A245	6,750,130	06/15/2004	Fitzgerald			01/07/2001		
<b>FOREIGN PATENT DOCUMENTS</b>									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B9	41 01 167	07/23/1992	DE				N	Y (Abstract only)
	B10	0 514 018	11/19/1992	EP				N	Y
	B11	0 829 908	03/18/1998	EP				N	Y
	B12	0 838 858	04/29/1998	EP				N	N
	B13	1 020 900	07/19/2000	EP				N	Y
<b>EXAMINER</b>					<b>DATE CONSIDERED</b>				

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	B14	1 174 928	01/23/2002	EP				N	Y
	B15	2 701 599	09/01/1993	FR				Y	Y
	B16	2 342 777	04/19/2000	GB				Y	Y
	B17	61/141116	06/28/1986	JP				N	Y (Abstract only)
	B18	2/210816	08/22/1990	JP				N	Y (Abstract only)
	B19	3/036717	02/18/1991	JP				N	Y
	B20	4-307974	10/30/1992	JP				N	N
	B21	5-166724	07/23/1993	JP				N	Y (Abstract only)
	B22	6-177046	06/24/1994	JP				N	Y (Abstract only)
	B23	6-244112	09/02/1994	JP				Y	Y
	B24	6-252046	09/09/1994	JP				Y	Y
	B25	7-094420	04/07/1995	JP				N	Y (Abstract only)
	B26	7-106446	04/21/1995	JP				N	N
	B27	7-240372	09/12/1995	JP				N	Y (Abstract only)
	B28	10-270685	10/09/1998	JP				N	Y
	B29	11-233744	08/27/1999	JP				N	N
	B30	2000-021783	01/21/2000	JP				N	Y
	B31	2001-319935	11/16/2001	JP				N	Y
	B32	2002-076334	03/15/2002	JP				N	Y
	B33	2002-164520	06/07/2002	JP				N	Y
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	B34	2002-289533	10/04/2002	JP				N	Y
	B35	00/54338	09/14/2000	WO				N	Y
	B36	01/22482	03/29/2001	WO				N	Y
	B37	01/54202	07/26/2001	WO				N	Y
	B38	01/93338	12/06/2001	WO				N	Y
	B39	02/13262	02/14/2002	WO				N	Y
	B40	02/15244	02/21/2002	WO				N	Y
	B41	02/27783	04/04/2002	WO				N	Y
	B42	02/47168	06/13/2002	WO				N	Y
	B43	02/071488	09/12/2002	WO				N	Y
	B44	02/071491	09/12/2002	WO				N	Y
	B45	02/071495	09/12/2002	WO				N	Y
	B46	02/082514	10/17/2002	WO				N	Y
	B47	04/006311	01/15/2004	WO				N	Y
	B48	04/006326	01/15/2004	WO				N	Y
	B49	04/006327	01/15/2004	WO				N	Y
	B50	04/019403	03/04/2004	WO				N	Y
	B51	04/019404	03/04/2004	WO				N	Y
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	C73	Bouillon <i>et al.</i> , "Search for the optimal channel architecture for 0.18/0.12 $\mu\text{m}$ bulk CMOS experimental study," IEEE, (1996), pp. 21.2.1-21.2.4.					
	C74	Bufler <i>et al.</i> , "Hole transport in strained $\text{Si}_{1-x}\text{Ge}_x$ alloys on $\text{Si}_{1-y}\text{Ge}_y$ substrates," <u>Journal of Applied Physics</u> , Vol. 84, No. 10 (November 15, 1998), pp. 5597-5602.					
	C75	Burghartz <i>et al.</i> , "Microwave Inductors and Capacitors in Standard Multilevel Interconnect Silicon Technology," <u>IEEE Transactions on Microwave Theory and Techniques</u> , Vol. 44, No. 1 (January 1996), pp. 100-104.					
	C76	Canaperi <i>et al.</i> , "Preparation of a relaxed Si-Ge layer on an insulator in fabricating high-speed semiconductor devices with strained epitaxial films," International Business Machines Corporation, 2002 (abstract).					
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	C84	Fitzgerald <i>et al.</i> , "Dislocation dynamics in relaxed graded composition semiconductors," <u>Materials Science and Engineering</u> , B67 (1999), pp. 53-61.							
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	C98	Huang <i>et al.</i> , (2001) "Carrier Mobility enhancement in strained Si-on-insulator fabricated by wafer bonding", 2001 Symposium on VLSI Technology, Digest of Technical Papers, pages 57-58							
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FORM PTO - 1449				ATTY DOCKET NO.: ASC-022CPC1					
INFORMATION DISCLOSURE STATEMENT				APPLICANT: Wu <i>et al.</i>					
				SERIAL NO.: 10/603,852					
				FILING DATE: June 25, 2003					
				EXAMINER: Owens, Douglas W.					
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EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME		CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
FOREIGN PATENT DOCUMENTS									
EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
OTHER ART, JOURNAL ARTICLES, ETC.									
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